

STATE OF CALIFORNIA  
Budget Change Proposal - Cover Sheet  
DF-46 (REV 08/16)

Fiscal Year 2017-18	Business Unit 0820	Department <b>California Department of Justice</b>	Priority No.
Budget Request Name <b>0820-003-BCP-2017-GB</b>		Program <b>LAW ENFORCEMENT</b>	Subprogram <b>BUREAU OF FIREARMS</b>

Budget Request Description

Chapter 60, Statutes of 2016 (Assembly Bill 857): Firearms: Identifying Information

Budget Request Summary

The California Department of Justice, Division of Law Enforcement, Bureau of Firearms, requests an increase of \$1,368,000 in FY 2017-18, \$1,022,000 in FY 2018-19, \$866,000 in FY 2019-20 and \$820,000 on-going in Dealers' Record of Sale (DROS) Special Fund spending authority to support 8.0 positions. The funding will be loaned to the DROS fund from the Firearms Safety and Enforcement (FS&E) fund, and will be repaid no later than June 30, 2021. The positions and funding will be utilized by the Bureau and the Division of California Justice Information Services (CJIS) in order to implement and maintain the new requirements of AB 857.

Requires Legislation <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Code Section(s) to be Added/Amended/Repealed	
Does this BCP contain information technology (IT) components? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, departmental Chief Information Officer must sign.</i>	Department CIO	Date

For IT requests, specify the project number, the most recent project approval document (FSR, SPR, S1BA, S2AA, S3SD, S4PRA), and the approval date.

Project No.

Project Approval Document:

Approval Date:

If proposal affects another department, does other department concur with proposal? ☐ Yes ☐ No  
*Attach comments of affected department, signed and dated by the department director or designee.*

Prepared By	Date	Reviewed By	Date
Department Director	Date	Agency Secretary	Date

Department of Finance Use Only

Additional Review: ☐ Capital Outlay ☐ ITCU ☐ FSCU ☐ OSAE ☐ CALSTARS ☐ Dept. of Technology

BCP Type: ☐ Policy ☐ Workload Budget per Government Code 13308.05

PPBA

**Original Signed By  
Brendan Murphy**

Date submitted to the Legislature

1/10/17

**A. Budget Request Summary**

The California Department of Justice (Department), Division of Law Enforcement, Bureau of Firearms (Bureau), requests an increase of \$1,368,000 in FY 2017-18, \$1,022,000 in FY 2018-19, \$866,000 in FY 2018-19 and \$820,000 on-going in Dealers' Record of Sale (DROS) Special Fund spending authority to support 8.0 positions. The funding will be loaned to the DROS fund from the Firearms Safety and Enforcement (FS&E) fund, and will be repaid no later than June 30, 2021. The positions and funding will be utilized by the Bureau and the Division of California Justice Information Services (CJIS) to implement and maintain the requirements of Assembly Bill (AB) 857 (Cooper).

**B. Background/History**

**Bureau of Firearms  
Resource History**  
*(Dollars in thousands)*

<b>Program Budget</b>	<b>FY 2011/12</b>	<b>FY 2012/13</b>	<b>FY 2013/14</b>	<b>FY 2014/15</b>	<b>FY 2015/16</b>
Authorized Expenditures	20,646	25,756	25,440	25,872	25,856
Actual Expenditures	18,714	24,979	24,733	24,887	24,099
Revenues (FS&E 1008)	5,742	8,007	6,682	7,750	9,218
Authorized Positions	142.0	156.0	179.0	180.0	171.0
Filled Positions	128.0	141.0	142.0	141.0	150.0
Vacancies	14.0	15.0	37.0	39.0	21.0

Existing law authorizes the Department to assign a distinguishing number or mark of identification to any firearm whenever the firearm lacks a manufacturer's number or other mark of identification.

Commencing July 1, 2018, any person or entity who manufactures or assembles a firearm is required to first apply to the Department for a unique serial number. Within 10 days of manufacturing or assembling the firearm, the unique serial number shall be engraved or permanently affixed to the firearm. After the unique serial number is engraved, the person shall notify the Department with sufficient information to identify the owner of the firearm, the unique serial number, and the firearm in a manner and time period prescribed by the Department.

By January 1, 2019, any person who, as of July 1, 2018, owns a firearm that does not bear a serial number shall apply to the Department for a unique serial number. Within 10 days of receiving the unique serial number, the person shall have the number engraved or permanently affixed to the firearm. After the unique serial number is engraved, the person shall notify the Department with sufficient information to identify the owner of the firearm, the unique serial number, and the firearm in a manner and time period prescribed by the Department. The bill allows the Department to charge a fee to recover the costs associated with issuing a distinguishing number or mark to qualified applicants.

Additionally, AB 857 prohibits any person, who is prohibited from possessing a firearm, from aiding in the manufacture or assembly of a firearm. Any violation of these provisions is a misdemeanor. By creating a new crime, AB 857 imposes a state-mandated local program.

In order to implement the new requirements of AB 857, the Department will need to design, develop and implement enhancements to the California Reporting Information System (CRIS), the Consolidated Firearms Information System (CFIS) database, the Dealer Record of Sale (DROS) application, the Automated Firearms System (AFS), and the California Firearms Information Gateway (CFIG) for the Bureau.

**C. State Level Considerations**

If this proposal is approved, the Department will incur no General Fund costs. There is no fiscal impact on other state agencies.

**D. Justification**

**Bureau of Firearms**

The Bureau is required to develop, implement, and maintain a program for the issuance of unique firearms serial numbers. The preliminary task of the Bureau is to establish the regulations and fee for the newly mandated program. The program must meet the following objectives:

- Allow persons to apply for a Department issued serial number via a "public facing" application.
- Conduct a firearm eligibility background check to determine if the applicant is prohibited from owning or possessing a firearm.
- Generate a unique serial number if the applicant is not prohibited.
- Provide notification to the applicant of the serial number(s) issued or the reason for the denial.
- Allow the applicant to report the make, model, color, caliber, etc. via the "public facing" application.

In order to accomplish these objectives, the Bureau will need the following resources:

Criminal Identification Specialist II	2.0
Criminal Identification Specialist II	1.0
Associate Governmental Program Analyst	1.0
Program Technician II	1.0
<b>Total</b>	<b>5.0</b>

The three Criminal Identification Specialist (CIS) II's scope of work will include processing requests for a unique serial number as well as conducting analyses of criminal history to complete a firearms eligibility background check on the applicants. These functions involve inquiries into various database systems, the request and review of various files, and contact with other entities to verify any firearms prohibiting records.

The Associate Governmental Program Analyst (AGPA) will ensure work processes are completed within the time frames mandated by state law. The AGPA will draft the regulations and assist in the development of the processes, procedures, and systems. The AGPA will also provide assistance by telephone and/or written communication to local law enforcement agencies and the public to explain laws and regulations, procedures for processing applications, and addressing complaints. The Program Technician (PT) II's scope of work will include data entry and support duties for the CIS II and AGPA.

Once the positions are filled, the additional staff will require approximately six months of training in the operation of various BOF databases prior to implementing and carrying out the workload established by AB 857.

**California Justice Information Services**

AB 857 requires the Department to generate a unique serial number for individuals requesting to manufacture or assemble a firearm, or whose existing firearm does not currently bear a serial number. The proposed solution will allow persons to request a supplemental manufacturer number (unique serial number) via the CRIS. The information will then be submitted to the CFIS database where the CFGI would run a background check on the individual. The information for this request would be processed by the staff in the Background Clearance Unit via the DROS system. The DROS and CRIS would then notify the individual of the status of their background check, and, if approved, would also generate the unique serial number. The individual would then have 30 days to manufacture the firearm

## Budget Change Proposal

DF-46 (REV 08/15)

with the supplemental number on it and report the make, model, color, caliber, etc. via the CRIS. The CRIS would then update this information in the CFIS for submission to the AFS.

The existing CRIS, DROS, and CFG systems and databases will be modified to support the legislative mandates described above, in addition to changes to the CFIS and AFS databases.

Additional permanent resources will be necessary to perform the analysis, development, testing, implementation, and ongoing maintenance and support beginning July 1, 2017.

Senior Information Systems Analyst	1.0
Senior Programmer Analyst	1.0
Systems Software Specialist	1.0
<b>Total</b>	<b>3.0</b>

The Senior Information Systems Analyst (Sr. ISA) will create system requirements, facilitate joint application design sessions with the clients, create use cases, test data, and test cases, perform all levels of testing to ensure business requirements are met, and provide ongoing system analysis to maintain business rules and update system requirements specifications, detailed use cases, report specifications, and test cases. Additionally, the Sr. ISA would be responsible for the ongoing maintenance and support activities associated with the legislatively mandated requirements.

The Senior Programmer Analyst (Sr. PA) will assist with analysis, design, development, and implementation of the solution, create system diagrams and technical documentation, and perform unit and system integration testing. The Sr. PA will be responsible for the ongoing maintenance and support activities associated with the legislatively mandated requirements.

The Systems Software Specialist (SSS) II (Database Administrator) will perform at the expert specialist level design, modification, installation, testing, and evaluation of complex database software in addition to serving as the lead database administrator on this project. The SSS II will act as a consultant to the technical data processing personnel assigned to this project in solving complex database system problems and achieving the best use of resources available. The SSS II will also work as the high-level technical specialist and team lead on this complex system implementation. The incumbent would be responsible for ongoing support and maintenance.

Projected infrastructure and software requirements:

One-Time Equipment: \$75,840

- Two production Oracle database cluster servers
- Two performance Oracle database cluster servers
- Virtual Machines for JBOSS Application Servers Linux
- SAN storage
- Automated Fingerprint Identification System Storage

One-Time Software: \$308,800

- Oracle Database Server software
- JBoss SOA Platform Application Server & Web Server
- Redhat Socket Premium Server & Resilient Storage
- Backup DPA Agent & License

Ongoing Equipment Maintenance and Licenses: \$223,680

## Budget Change Proposal

DF-46 (REV 08/15)

- Oracle Database Server and storage
- Oracle Database Server software
- JBoss SOA Platform Application Server & Web Server
- Redhat Socket Premium Server & Resilient Storage
- Backup DPA Agent & License
- Automated Fingerprint Identification System Storage

AB 857 establishes new crimes, resulting in an increase in arrest prints. In order to process this increase in arrest prints and to provide independent project oversight, CJIS requires the following overtime:

CIS II: 95 hours (FY 2017-18 & on-going)

### E. Outcomes and Accountability

Per AB 857, the Bureau may charge an applicant a fee for each unique serial number and for conducting a firearms eligibility background check. All revenue received shall be deposited in the Dealers' Record of Sale Special Fund. During the regulatory process, the Bureau will determine the fee for each unique serial number. The Bureau estimates around 50,000 applicants will need to register 75,000 firearms within the first year. The Bureau estimates the on-going workload to be 1,000 applicants registering 2,000 firearms annually.

#### Projected outcomes

Workload Measure	FY 2016-17	FY 2017-18*	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22
Applicants	-	-	50,000	1,000	1,000	1,000
Firearms registered	-	-	75,000	2,000	2,000	2,000

\* FY 2017-18 resources requested in order to implement the program. DOJ not required to start registering firearms until July 1, 2018.

### F. Analysis of All Feasible Alternatives

**Alternative 1:** Approve this request for an increase of \$1,368,000 in FY 2017-18, \$1,022,000 in FY 2018-19, \$866,000 in FY 2019-20 and \$820,000 on-going in DROS Special Fund spending authority to support 8.0 positions. The funding will be loaned to the DROS fund from the FS&E fund, and will be repaid no later than June 30, 2021. Without this funding and increased staffing, the Department will not meet the demands of the AB 857, and will risk being unable to administer other legislatively mandated programs within the Bureau. The Bureau will establish a fee during the regulatory process to cover the actual cost associated with the new workload.

**Alternative 2:** Extend the implementation time. This alternative would require a change in legislation to extend the existing mandated implementation time and workload required of the Department. This is unlikely since AB 857 was signed by the Governor on July 22, 2016.

**Alternative 3:** Carry out this objective with existing funding and staffing. This is not a viable alternative because the current staff will have to work additional overtime to keep up with workload demands. If the positions are not approved, staff would incur mandatory overtime, working 10-12 hours a day and 7 days a week, to possibly be able to meet the demands of all the Department's legislatively mandated programs and time frames, including AB 857. The continuation of steady overtime by permanent staff causes burnout, low morale, and increases the chances of errors. Without the requested funding, the Bureau will not be able to manage the projected workload and may risk firearms going to prohibited individuals, thus placing the public's safety in extreme jeopardy.

## **Budget Change Proposal**

DF-46 (REV 08/15)

### **G. Implementation Plan**

Once funding is received, the Bureau will immediately begin work to fill the positions via the established State of California and the Department's hiring process.

### **H. Supplemental Information**

None

### **I. Recommendation**

**Alternative 1:** Approve this request for an increase of \$1,368,000 in FY 2017-18, \$1,022,000 in FY 2018-19, \$866,000 in FY 2019-20 and \$820,000 on-going in DROS Special Fund spending authority to support 8.0 positions. The funding will be loaned to the DROS fund from the FS&E fund, and will be repaid no later than June 30, 2021. Without this funding and increased staffing, the Department will not meet the demands of the AB 857, and will risk being unable to administer other legislatively mandated programs within the Bureau. The Bureau will establish a fee during the regulatory process to cover the actual cost associated with the new workload.

**Fiscal Summary**

(Dollars in thousands)

BCP No. 3	Proposal Title Assembly Bill (AB) 857: Firearms: Identifying Information			Program Law Enforcement		
<b>Personal Services</b>	<b>Positions</b>			<b>Dollars</b>		
	<b>CY</b>	<b>BY</b>	<b>BY + 1</b>	<b>CY</b>	<b>BY</b>	<b>BY + 1</b>
Total Salaries and Wages <sup>1</sup>		8.0	8.0		\$452	\$397
Total Staff Benefits <sup>2</sup>					211	180
<b>Total Personal Services</b>	0.0	8.0	8.0	\$0	\$663	\$577
<b>Operating Expenses and Equipment</b>						
General Expense					72	15
Printing					2	2
Communications					14	14
Postage					2	2
Travel-In State					17	16
Travel-Out of State					0	0
Training					18	18
Facilities Operations					22	22
Utilities					0	0
Consulting & Professional Services: Interdepartmental <sup>3</sup>						
Consulting & Professional Services: External <sup>3</sup>						
Data Center Services						
Information Technology					414	251
Equipment <sup>3</sup>						
Other/Special Items of Expense: <sup>4</sup>						
Departmental Services					144	105
<b>Total Operating Expenses and Equipment</b>				\$0	\$705	\$445
<b>Total State Operations Expenditures</b>				\$0	\$1,368	\$1,022
<b>Fund Source</b>	<b>Item Number</b>					
	<b>Org</b>	<b>Ref</b>	<b>Fund</b>			
General Fund						
Special Funds <sup>5</sup>	820	001	0460		\$1,368	\$1,022
Federal Funds						
Other Funds (Specify)						
Reimbursements						
<b>Total Local Assistance Expenditures</b>				\$0	\$0	\$0
<b>Fund Source</b>	<b>Item Number</b>					
	<b>Org</b>	<b>Ref</b>	<b>Fund</b>			
General Fund						
Special Funds <sup>5</sup>						
Federal Funds						
Other Funds (Specify)						
Reimbursements						
<b>Grand Total, State Operations and Local Assistance</b>				\$0	\$1,368	\$1,022

<sup>1</sup> Itemize positions by classification on the Personal Services Detail worksheet.<sup>2</sup> Provide benefit detail on the Personal Services Detail worksheet.<sup>3</sup> Provide list on the Supplemental Information worksheet.<sup>4</sup> Other/Special Items of Expense must be listed individually. Refer to the Uniform Codes Manual for a list of standard titles.<sup>5</sup> Attach a Fund Condition Statement that reflects special fund or bond fund expenditures (or revenue) as proposed.

# Personal Services Detail

(Whole dollars)

BCP No. 3	Proposal Title Assembly Bill (AB) 857: Firearms: Identifying Information
--------------	---

## Salaries and Wages Detail

Classification <sup>1 2</sup>	Positions			Salary Range	Dollars		
	CY	BY	BY + 1		CY	BY	BY + 1
Criminal ID Specialist (CIS) II		2.0	2.0			\$71,028	\$94,704
Criminal ID Specialist (CIS) II		1.0	1.0			35,514	47,352
Associate Governmental Program Analyst (AGPA)		1.0	1.0			62,148	0
Program Technician II		1.0	1.0			27,963	9,321
System Software Specialist II		1.0	1.0			80,736	80,736
Sr. Info Systems Analyst		1.0	1.0			80,880	80,880
Sr. Programmer Analyst		1.0	1.0			80,880	80,880
Temp Help						10,000	0
Overtime						3,000	3,000
<b>Total Salaries and Wages <sup>3</sup></b>	0.0	8.0	8.0		\$0	\$452,149	\$396,873

## Staff Benefits Detail

	CY	BY	BY + 1
OASDI		\$26,989	\$21,324
Health/Dental/Vision Insurance		71,808	62,962
Retirement		104,175	90,698
Miscellaneous			
Safety			
Industrial			
Other:			
Workers' Compensation		5,500	5,120
Industrial Disability Leave			
Non-Industrial Disability Leave			
Unemployment Insurance			
Other: Temp Help/OT (OASDI/Medicare)		2,939	47
<b>Total Staff Benefits <sup>3</sup></b>	\$0	\$211,411	\$180,151
<b>Grand Total, Personal Services</b>	\$0	\$663,560	\$577,024

<sup>1</sup> Use standard abbreviations per the Salaries and Wages Supplement. Show any effective date or limited-term expiration date in parentheses if the position is not proposed for a full year or is not permanent, e.g. (exp 6-30-13) or (eff 1-1-13)

**Note:** Information provided should appear in the same format as it would on the Changes in Authorized Positions.

<sup>2</sup> If multiple programs require positions, please include a subheading under the classification section to identify positions by program/element.

<sup>3</sup> Totals must be rounded to the nearest thousand dollars before posting to the Fiscal Summary.

# Supplemental Information

(Dollars in thousands)

BCP No. 3	Proposal Title Assembly Bill (AB) 857: Firearms: Identifying Information
--------------	---

Equipment	CY	BY	BY +1
<b>Total</b>	\$0	\$0	\$0

## Consulting & Professional Services

<b>Total</b>	\$0	\$0	\$0

## Facility/Capital Costs

Standard Complement		22	22
<b>Total</b>	\$0	\$22	\$22

## One-Time/Limited-Term Costs Yes ☒ No ☐

Description	BY		BY +1		BY +2	
	Positions	Dollars	Positions	Dollars	Positions	Dollars
One-Time Costs				-307		-140
Dept. Services				-39		-16
	0.0	\$0	0.0	-\$346	0.0	-\$156

## Full-Year Cost Adjustment Yes ☒ No ☐

Provide the incremental change in dollars and positions by fiscal year.

Item Number	BY		BY +1		BY +2	
	Positions	Dollars	Positions	Dollars	Positions	Dollars
820-001-0460	8	1,368	0	-346	0	-156
<b>Total</b>	8.0	\$1,368	0.0	-\$346	0.0	-\$156

## Future Savings Yes ☐ No ☒

Specify fiscal year and estimated savings, including any decrease in positions.

Item Number	BY		BY +1		BY +2	
	Positions	Dollars	Positions	Dollars	Positions	Dollars
<b>Total</b>	0.0	0.0	0.0	0.0	0.0	0.0

## (Dollars in thousands)

Special Fund Title	Item Number			Dollars		
	Org	Ref	Fund	CY	BY	BY + 1
<b>Total Special Funds - Local Assistance <sup>2</sup></b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

<sup>2</sup> Total must tie to "various" funds identified for Local Assistance, Special Funds in the Fiscal Summary.